



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 4

Application Number	10/781,805
Filing Date	February 20, 2004
First Named Inventor	Rajesh SUBBU, et al.
Art Unit	3693
Examiner Name	Jared W. NEWTON

Attorney Docket Number 52493.000361

U.S. PATENT DOCUMENTS

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/JN/		US- 6278464	08-21-2001	Kohavi	
/JN/		US- 7047167	05-16-2006	Yamaguchi	
/JN/		US- 20020099929	07-25-2002	Jin	
/JN/		US- 20020065636	05-30-2002	Yamaguchi	
/JN/		US- 20030233304	12-18-2003	Dhurandhar	
/JN/		US- 20030110113	06-12-2003	Martin	
/JN/		US- 20040220837	11-04-2004	Bonissone	

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		Country Code Number-Kind Code (if known)					YES	NO
/JN/		WO	2002/075650 (abstract)	09-26-2002	Yao		<input type="checkbox"/>	<input type="checkbox"/>
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Sheet	2 of 4	Attorney Docket Number	52493.000361
OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS			
*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	
/JN/		Baglioni, S., et al., An Evolutionary Approach to Multiperiod Asset Allocation, Proceedings of Genetic Programming, (EuroGP'2000), vol. 1802, pages 225-236, Springer-Verlag, Edinburgh, 2000 <input type="checkbox"/> <input checked="" type="checkbox"/>	
/JN/		Loraschi, A., et al., An Evolutionary Algorithm For Portfolio Selection In A Downside Risk Framework, European Journal of Finance, 1994 <input type="checkbox"/> <input checked="" type="checkbox"/>	
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/JN/		Rinaldo, F., A Comparison of Stochastic Search Heuristics for Portfolio Optimization, Proceedings of the Second International Conference on Artificial Intelligence Applications on Wall Street, Software Engineering Press, April, 1993, pp. 149-151 <input type="checkbox"/> <input checked="" type="checkbox"/>	
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/JN/		Bodie, Z., et al., Investments, Fourth edition, Irwin/McGraw Hill, 1999 <input type="checkbox"/> <input checked="" type="checkbox"/>	
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/JN/		Back, Thomas, Evolutionary Algorithms in Theory and Practice, Oxford University Press, New York, 1996 <input type="checkbox"/> <input checked="" type="checkbox"/>	
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OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS					
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					TRANSLATION
					YES NO
/JN/		Coello, C., et al. Evolutionary Algorithm MOP Approaches, Evolutionary Algorithms for Solving Multi-Objective Problems, pp 59-99. Kluwer Academic, 2002			<input type="checkbox"/> <input type="checkbox"/>
/JN/		Goldberg, D., Genetic Algorithms in Search, Optimization, and Machine Learning, Addison-Wesley, Massachusetts, 1989			<input type="checkbox"/> <input type="checkbox"/>
/JN/		Dempster, A., Upper and lower probabilities induced by a multivalued mapping, Annals of Mathematical Statistics, 38:325-339, 1976			<input type="checkbox"/> <input type="checkbox"/>
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